

Exhibit 300: Capital Asset Plan and Business Case Summary

Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. **Date of Submission:** 2010-03-17 15:38:35

2. **Agency:** 021

3. **Bureau:** 17

4. **Name of this Investment:** FMCSA009: FMCSA Modernization Project

5. **Unique Project (Investment) Identifier:** 021-17-01-14-01-1280-00

6. **What kind of investment will this be in FY 2011?:** Mixed Life Cycle

- Planning
- Full Acquisition
- Operations and Maintenance
- Mixed Life Cycle
- Multi-Agency Collaboration

7. **What was the first budget year this investment was submitted to OMB? ***

8. **Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap; this description may include links to relevant information which should include relevant GAO reports, and links to relevant findings of independent audits.**

The FMCSA Modernization Project (also known as COMPASS) is aligned with FMCSA's mission of saving lives and making America's roads safer by providing more efficient access to safety information on behalf of FMCSA, state partners, and customers, and developing new tools for streamlining and enhancing enforcement processes. The current application architecture severely restricts FMCSA's service delivery due to a lack of flexibility, adaptability, data accessibility, and ease of use, which makes it challenging to meet customers' business needs. In response to these challenges, FMCSA has elected to invest in a new, highly integrated and flexible systems architecture. Through this investment, FMCSA plans to improve high-risk carrier data formulation, improve services delivered by its systems application suite, and improve key IT portfolio and related management practices. Ultimately, FMCSA expects this investment to result in substantial improvement in the efficiency and effectiveness of Field safety operations. Enforcement Staff for example, will be able to conduct roadside and border safety inspections, safety audits, and compliance reviews more efficiently thanks to the integration of the applications and improved data quality. The new workflow and rule engine capabilities will allow Enforcement Staff to automatically monitor commercial vehicle activities to determine if action is required and then trigger processes for suspending or revoking registration or operating authority, when necessary. FMCSA customers will also see a significant improvement in their ability to access information and synthesize data, and FMCSA will be able to maintain its ongoing IT costs based on industry standards.

a. **Provide here the date of any approved rebaselining within the past year, the date for the most recent (or planned) alternatives analysis for this investment, and whether this investment has a risk management plan and risk register.**

9. **Did the Agency's Executive/Investment Committee approve this request? ***

a. If "yes," what was the date of this approval? *

10. **Contact information of Program/Project Manager?**

- **Name:** *

- Phone Number: *
- Email: *

11. What project management qualifications does the Project Manager have? (per FAC-P/PM)? *

- Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment.
- Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.
- Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria.
- Project manager assigned but qualification status review has not yet started.
- No project manager has yet been assigned to this investment.

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

Financial management system name(s)	System acronym	Unique Project Identifier (UPI) number
*	*	*

a. If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMIA compliance area that this investment addresses (choose only one): *

- computer system security requirement;
- internal control system requirement;
- core financial system requirement according to FSIO standards;
- Federal accounting standard;
- U.S. Government Standard General Ledger at the Transaction Level;
- this is a core financial system, but does not address a FFMIA compliance area;
- Not a core financial system; does not need to comply with FFMIA

Section B: Summary of Funding (Budget Authority for Capital Assets)

1.

Table 1: SUMMARY OF FUNDING FOR PROJECT PHASES (REPORTED IN MILLIONS) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)									
	PY1 and earlier	PY 2009	CY 2010	BY 2011	BY+1 2012	BY+2 2013	BY+3 2014	BY+4 and beyond	Total
Planning:	*	*	*	*	*	*	*	*	*
Acquisition:	*	*	*	*	*	*	*	*	*
Subtotal Planning & Acquisition:	*	*	*	*	*	*	*	*	*
Operations & Maintenance:	*	*	*	*	*	*	*	*	*
Disposition Costs (optional):	*	*	*	*	*	*	*	*	*
SUBTOTAL:	*	*	*	*	*	*	*	*	*
Government FTE Costs should not be included in the amounts provided above.									
Government FTE Costs	*	*	*	*	*	*	*	*	*
Number of FTE represented by Costs:	*	*	*	*	*	*	*	*	*
TOTAL(including FTE costs)	*	*	*	*	*	*	*	*	*

2. If the summary of funding has changed from the FY 2010 President's Budget request, briefly explain those changes:

*

Section C: Acquisition/Contract Strategy (All Capital Assets)

1.

Table 1: Contracts/Task Orders Table

Contract or Task Order Number	Type of Contract/Task Order (In accordance with FAR Part 16)	Has the contract been awarded (Y/N)	If so what is the date of the award? If not, what is the planned award date?	Start date of Contract/Task Order	End date of Contract/Task Order	Total Value of Contract/Task Order (M)	Is this an Interagency Acquisition? (Y/N)	Is it performance based? (Y/N)	Competitively awarded? (Y/N)	What, if any, alternative financing option is being used? (ESPC, UESC, EUL, N/A)	Is EVM in the contract? (Y/N)
DTMC7508N00009	InterAgency Agreement	Y	2009-10-01	2009-10-01	2010-09-30	\$2.6	*	*	*	*	*
DTMC7509N00072	InterAgency Agreement	Y	2009-01-01	2009-01-01	2010-09-30	\$6.7	*	*	*	*	*
TBD	InterAgency Agreement	Y	2009-10-01	2010-10-01	2011-03-31	\$2.5	*	*	*	*	*
TBD	InterAgency Agreement	Y	2009-08-07	2009-08-10	2010-08-09	\$1.7	*	*	*	*	*
TBD	InterAgency Agreement	Y	2009-10-01	2009-10-01	2010-09-30	\$2.6	*	*	*	*	*
DTMC7508X00011	InterAgency Agreement	Y	2005-09-19	2005-10-01	2011-08-31	\$50.7	*	*	*	*	*
DTMC7507F00009	Time and Materials/Labor Hour	Y	2006-12-18	2006-12-18	2011-12-17	\$47.2	*	*	*	*	*
DTMC7507F00014	Firm Fixed Price	Y	2007-01-16	2007-01-16	2012-01-05	\$5.7	*	*	*	*	*
DTMC7509C00026	Firm Fixed Price	Y	2009-09-17	2009-09-17	2014-09-16	\$0.0	*	*	*	*	*

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

*

3. Is there an acquisition plan which reflects the requirements of FAR Subpart 7.1 and has been approved in accordance with agency requirements? *

a. If "yes," what is the date? *

Section D: Performance Information (All Capital Assets)

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2009	Safety	*	*	Satisfaction score from Federal system users	Baseline is 3.75 out of 5.00	Target is 3.80	3.85 out of 5.00
2009	Safety	*	*	Number of systems that require an independent sign on not automatically provided by the COMPASS portal	For FY 2008, 17 of 21 systems required independent sign on	Target for FY 2009 is 0 systems	In FY2009, zero systems require independent sign-on; all 11 systems are available via the COMPASS portal
2009	Safety	*	*	Fatalities involving large trucks and buses per 100 million vehicle miles traveled	Actual rate for CY 2007 is 0.168	CY2009 target rate is 0.167	TBD in October 2010
2009	Safety	*	*	Average time to resolve high vulnerabilities	FY 2008 average is 120 hours	Target is 72 hours	Average time for all vulnerabilities was 15 working days; tracking system did not track high vulnerabilities separately
2009	Safety	*	*	Percent of time systems are available	Baseline is 99.5%	Target is 99.7%	Actual is 99.4%
2010	Safety	*	*	Satisfaction score from Federal system users	Baseline is 3.85 out of 5.00	Target is 3.85	TBD in October 2010
2010	Safety	*	*	Total number of existing systems replaced by investment	In FY2009, Zero of 19 systems retired	Target for FY 2010 is 6 systems	TBD in October 2010
2010	Safety	*	*	Fatalities involving large trucks and buses per 100 million vehicle miles traveled	Actual rate for CY 2007 is 0.168	CY2010 target rate is 0.164	TBD in October 2011
2010	Safety	*	*	Average time to discover? total exposure,??develop remediation, test against current infrastructure, deploy and re?-?assess remediation for??new ?vulnerabilities? and/or other	FY 2009 is baseline year: average time for all vulnerabilities was 15 working days	Low vulnerabilities: 30 working days Moderate vulnerabilities: 10 working days High vulnerabilities: 5 working days	TBD in October 2010

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
				related issues?			
2010	Safety	*	*	Percent of time systems are available	Baseline is 99.5%	FY2010 target is 99.7%	TBD in October 2010
2011	Safety	*	*	Satisfaction score from Federal system users	Baseline is 3.85 out of 5.00	Target is 3.90	TBD in October 2011
2011	Safety	*	*	Total number of existing systems replaced by investment	In FY2009, Zero of 19 systems retired	Target in FY2011 is 7 systems	TBD in October 2011
2011	Safety	*	*	Fatalities involving large trucks and buses per 100 million vehicle miles traveled	Actual rate for CY 2007 is 0.168	CY2011 target rate is 0.160	TBD in October 2012
2011	Safety	*	*	Average time to discover? total exposure,??develop remediation, test against current infrastructure, deploy and re?-?assess remediation for??new ?vulnerabilities? ?and/or other related issues?	FY 2009 is baseline year: average time for all vulnerabilities was 15 working days	Low vulnerabilities: 30 working days Moderate vulnerabilities: 10 working days High vulnerabilities: 5 working days	TBD in October 2011
2011	Safety	*	*	Percent of time systems are available	Baseline is 99.5%	Target is 99.7%	TBD in October 2011
2012	Safety	*	*	Satisfaction score from Federal system users	Baseline is 3.85 out of 5.00	Target is 3.95	TBD in October 2012
2012	Safety	*	*	Total number of existing systems replaced by investment	In FY2009, Zero of 19 systems retired	Target in FY2012 is 12 systems	TBD in October 2012
2012	Safety	*	*	Fatalities involving large trucks and buses per 100 million vehicle miles traveled	Actual rate for CY 2007 is 0.168	CY2012 target rate is 0.157	TBD in October 2013
2012	Safety	*	*	Average time to discover? total exposure,??develop remediation, test against current infrastructure, deploy and re?-?assess remediation	FY 2009 is baseline year: average time for all vulnerabilities was 15 working days	Low vulnerabilities: 30 working days Moderate vulnerabilities: 10 working days High vulnerabilities: 5 working days	TBD in October 2012

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
for??new							
2012	Safety	*	*	Percent of time systems are available	Baseline is 99.5%	Target is 99.7%	TBD in October 2012
2013	Safety	*	*	Satisfaction score from Federal system users	Baseline is 3.85 out of 5.00	Target is 4.00	TBD in October 2013
2013	Safety	*	*	Total number of existing systems replaced by investment	In FY2009, Zero of 19 systems retired	Target for FY2013 is 15 systems	TBD in October 2013
2013	Safety	*	*	Fatalities involving large trucks and buses per 100 million vehicle miles traveled	Actual rate for CY 2007 is 0.168	CY2013 target rate is 0.154	TBD in October 2014
2013	Safety	*	*	Average time to discover? total exposure,??develop remediation, test against current infrastructure, deploy and re?-?assess remediation for??new ?vulnerabilities? ?and/or other related issues?	FY 2009 is baseline year: average time for all vulnerabilities was 15 working days	Low vulnerabilities: 30 working days Moderate vulnerabilities: 10 working days High vulnerabilities: 5 working days	TBD in October 2013
2013	Safety	*	*	Percent of time systems are available	Baseline is 99.5%	Target is 99.7%	TBD in October 2013
2014	Safety	*	*	Satisfaction score from Federal system users	Baseline is 3.85 out of 5.00	Target is 4.00	TBD in October 2014
2014	Safety	*	*	Total number of existing systems replaced by investment	In FY2009, Zero of 19 systems retired	Target for FY2014 is 18 systems	TBD in October 2014
2014	Safety	*	*	Fatalities involving large trucks and buses per 100 million vehicle miles traveled	Actual rate for CY 2007 is 0.168	CY2014 target rate is 0.151	TBD in October 2015
2014	Safety	*	*	Average time to discover? total exposure,??develop remediation, test against current	FY 2009 is baseline year: average time for all vulnerabilities was 15 working days	Low vulnerabilities: 30 working days Moderate vulnerabilities: 10 working days High	TBD in October 2014

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
				infrastructure, deploy and re?-?assess remediation for??new		vulnerabilities: 5 working days	
2014	Safety	*	*	Percent of time systems are available	Baseline is 99.5%	Target is 99.7%	TBD in October 2014
2015	Safety	*	*	Satisfaction score from Federal system users	Baseline is 3.85 out of 5.00	Target is 4.00	TBD in October 2015
2015	Safety	*	*	Total number of existing systems replaced by investment	In FY2009, Zero of 19 systems retired	Target for FY2015 is 19 systems	TBD in October 2015
2015	Safety	*	*	Fatalities involving large trucks and buses per 100 million vehicle miles traveled	Actual rate for CY 2007 is 0.168	CY2015 target rate is 0.151	TBD in October 2016
2015	Safety	*	*	Average time to discover? total exposure,??develop remediation, test against current infrastructure, deploy and re?-?assess remediation for??new ?vulnerabilities? ?and/or other related issues?	FY 2009 is baseline year: average time for all vulnerabilities was 15 working days	Low vulnerabilities: 30 working days Moderate vulnerabilities: 10 working days High vulnerabilities: 5 working days	TBD in October 2015
2015	Safety	*	*	Percent of time systems are available	Baseline is 99.5%	Target is 99.7%	TBD in October 2015

Part II: Planning, Acquisition And Performance Information

Section A: Cost and Schedule Performance (All Capital Assets)

1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline								
Description of Milestones	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
DM&E - COMPASS Architecture and Foundation	\$16.8	\$16.8	2005-10-01	2005-10-01	2006-09-30	2006-09-30	100.00%	100.00%
O&M - FMCSA Systems (FY06)	\$14.7	\$14.7	2005-10-01	2005-10-01	2006-09-30	2006-09-30	100.00%	100.00%
DM&E - COMPASS Release 1 (Portal Access)	\$10.8	\$10.6	2006-10-01	2006-10-01	2007-09-30	2007-09-30	100.00%	100.00%
O&M - FMCSA Systems (FY07)	\$17.0	\$16.9	2006-10-01	2006-10-01	2007-09-30	2007-09-30	100.00%	100.00%
DM&E - COMPASS Release 2 (SSO)	\$11.7	\$11.9	2007-10-01	2007-10-01	2008-09-30	2009-09-30	100.00%	100.00%
O&M - FMCSA Systems (FY08)	\$8.0	\$8.7	2007-10-01	2007-10-01	2008-09-30	2008-12-31	100.00%	100.00%
DM&E - COMPASS Release 3A (New Entrant)	\$12.9	\$8.6	2008-10-01	2008-09-15	2009-09-30	2009-12-31	100.00%	100.00%
O&M - FMCSA Systems (FY09)	\$8.3	\$5.4	2008-10-01	2009-01-01	2009-09-30	2009-10-31	100.00%	100.00%
DM&E - COMPASS Release 3B (CSA2010 and Registration)	\$13.3	\$11.4	2009-10-01	2009-08-05	2010-09-30		79.76%	67.00%
O&M - FMCSA Systems (FY10)	\$8.4	\$6.9	2009-10-01	2009-08-01	2010-09-30		75.00%	75.00%
DM&E - COMPASS Release 4 (Enforcement)	*	*	2010-10-01		2011-09-30		0.00%	0.00%
O&M - FMCSA Systems (FY11)	*	*	2010-10-01		2011-09-30		0.00%	0.00%
DM&E - COMPASS	*	*	2011-10-01		2012-09-30		0.00%	0.00%

1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline								
Description of Milestones	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
Release 5 (Crash)								
O&M - FMCSA Systems (FY12)	*	*	2011-10-01		2012-09-30		0.00%	0.00%
DM&E - COMPASS Release 6 (Data Warehouse)	*	*	2012-10-01		2013-09-30		0.00%	0.00%
O&M - FMCSA Systems (FY13)	*	*	2012-10-01		2013-09-30		0.00%	0.00%
DM&E - COMPASS Release 7 (Data Exchange)	*	*	2013-10-01		2014-09-30		0.00%	0.00%
O&M - FMCSA Systems (FY14)	*	*	2013-10-01		2014-09-30		0.00%	0.00%
DM&E - COMPASS Release 8 (Customer Relationship Management)	*	*	2014-10-01		2015-09-30		0.00%	0.00%
O&M - FMCSA Systems (FY15)	*	*	2014-10-01		2015-09-30		0.00%	0.00%
DM&E - COMPASS Release 9 (Inspect HM Shipments)	*	*	2015-10-01		2016-09-30		0.00%	0.00%
O&M - FMCSA Systems (FY16)	*	*	2015-10-01		2016-09-30		0.00%	0.00%
Future Acquisition (FY17 & Beyond)	*	*	2016-10-01		2018-09-30		0.00%	0.00%
Future O and M (FY17 & Beyond)	*	*	2016-10-01		2018-09-30		0.00%	0.00%

* - Indicates data is redacted.